

ENT COOPERATION TREATY

PCT

INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference P50828uW0	FOR FURTHER ACTION see Notification of Transmittal of International Search Report (Form PCT/ISA/220) as well as, where applicable, item 5 below.	
International application No. PCT/GB 00/ 00904	International filing date (day/month/year) 10/03/2000	(Earliest) Priority Date (day/month/year) 12/03/1999
Applicant BOOKHAM TECHNOLOGY LIMITED et al.		

This International Search Report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This International Search Report consists of a total of 2 sheets.

☒ It is also accompanied by a copy of each prior art document cited in this report.

1. Basis of the report

- a. With regard to the **language**, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.

☐ the international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).

- b. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international search was carried out on the basis of the sequence listing :

☐ contained in the international application in written form.

☐ filed together with the international application in computer readable form.

☐ furnished subsequently to this Authority in written form.

☐ furnished subsequently to this Authority in computer readable form.

☐ the statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.

☐ the statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished

2. ☐ **Certain claims were found unsearchable** (See Box I).

3. ☐ **Unity of invention is lacking** (see Box II).

4. With regard to the title,

☒ the text is approved as submitted by the applicant.

☐ the text has been established by this Authority to read as follows:

5. With regard to the abstract,

☒ the text is approved as submitted by the applicant.

☐ the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box III. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

6. The figure of the drawings to be published with the abstract is Figure No.

☐ as suggested by the applicant.

☐ because the applicant failed to suggest a figure.

☒ because this figure better characterizes the invention.

3
☐ None of the figures.

INTERNATIONAL SEARCH REPORT

International Application No

PCT/GB 00/00904

A. CLASSIFICATION OF SUBJECT MATTER

IPC 7 H04B10/24

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 H04B

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	US 5 347 601 A (ADE ROBERT W ET AL) 13 September 1994 (1994-09-13) abstract column 3, line 60 -column 4, line 58 column 12, line 27 - line 50 figures 1,7,13	1-9
X	US 5 515 195 A (MCADAMS LARRY R) 7 May 1996 (1996-05-07) abstract column 2, line 40 -column 3, line 48 column 11, line 9 - line 50	1-9
Y	figures 3A,3B,4A,4B	10-12
Y	EP 0 822 676 A (FURUKAWA ELECTRIC CO LTD) 4 February 1998 (1998-02-04) abstract claims 1-4; figure 8	10-12

☐ Further documents are listed in the continuation of box C.☒ Patent family members are listed in annex.

* Special categories of cited documents :

- "A" document defining the general state of the art which is not considered to be of particular relevance
- "E" earlier document but published on or after the international filing date
- "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- "O" document referring to an oral disclosure, use, exhibition or other means
- "P" document published prior to the international filing date but later than the priority date claimed

"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

"&" document member of the same patent family

Date of the actual completion of the international search

31 May 2000

Date of mailing of the international search report

08/06/2000

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2
NL - 2280 HV Rijswijk
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,
Fax: (+31-70) 340-3016

Authorized officer

Lazaridis, P

INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No.

PCT/GB 00/00904

Patent document cited in search report		Publication date	Patent family member(s)		Publication date
US	5347601 A	13-09-1994	NONE		
US	5515195 A	07-05-1996	NONE		
EP	0822676 A	04-02-1998	JP	10048446 A	20-02-1998
			CA	2211760 A	31-01-1998
			US	5960135 A	28-09-1999

TENT COOPERATION TRE, Y

PCT

NOTIFICATION OF ELECTION

(PCT Rule 61.2)

From the INTERNATIONAL BUREAU

To:

Commissioner
 US Department of Commerce
 United States Patent and Trademark
 Office, PCT
 2011 South Clark Place Room
 CP2/5C24
 Arlington, VA 22202
 ETATS-UNIS D'AMERIQUE
 in its capacity as elected Office

Date of mailing (day/month/year) 15 November 2000 (15.11.00)	
International application No. PCT/GB00/00904	Applicant's or agent's file reference P50828uWO
International filing date (day/month/year) 10 March 2000 (10.03.00)	Priority date (day/month/year) 12 March 1999 (12.03.99)
Applicant MORRIS, Robin, Jeremy, Richard et al	

1. The designated Office is hereby notified of its election made:

☒ in the demand filed with the International Preliminary Examining Authority on:
 09 October 2000 (09.10.00)

☐ in a notice effecting later election filed with the International Bureau on:

2. The election ☒ was

☐ was not

made before the expiration of 19 months from the priority date or, where Rule 32 applies, within the time limit under Rule 32.2(b).

The International Bureau of WIPO
 34, chemin des Colombettes
 1211 Geneva 20, Switzerland

Facsimile No.: (41-22) 740.14.35

Authorized officer

Zakaria EL KHODARY

Telephone No.: (41-22) 338.83.38

PATENT COOPERATION TREATY

PCT

From the INTERNATIONAL BUREAU

To:

TOWNSEN, Victoria, Jayne
Fry Heath & Spence
The Old College
53 High Street
Horley
Surrey RH6 7BN
United Kingdom

**NOTIFICATION OF THE RECORDING
OF A CHANGE**

(PCT Rule 92bis.1 and
Administrative Instructions, Section 422)

Date of mailing (day/month/year) 09 janvier 2003 (09.01.03)	IMPORTANT NOTIFICATION
Applicant's or agent's file reference P50828uWO	
International application No. PCT/GB00/00904	International filing date (day/month/year) 10 mars 2000 (10.03.00)

1. The following indications appeared on record concerning:

☐ the applicant ☐ the inventor ☒ the agent ☐ the common representative

Name and Address UNWIN, Stephen, Geoffrey Fry Heath & Spence The Old College 53 High Street Horley Surrey RH6 7BN United Kingdom	State of Nationality	State of Residence
	Telephone No. +44 1293 77 68 80	
	Facsimile No. +44 1293 77 68 37	
	Teleprinter No.	

2. The International Bureau hereby notifies the applicant that the following change has been recorded concerning:

☒ the person ☐ the name ☐ the address ☐ the nationality ☐ the residence

Name and Address TOWNSEN, Victoria, Jayne Fry Heath & Spence The Old College 53 High Street Horley Surrey RH6 7BN United Kingdom	State of Nationality	State of Residence
	Telephone No. +44 1293 77 68 80	
	Facsimile No. +44 1293 77 68 37	
	Teleprinter No.	

3. Further observations, if necessary:

4. A copy of this notification has been sent to:

☒ the receiving Office ☐ the designated Offices concerned
☐ the International Searching Authority ☒ the elected Offices concerned
☐ the International Preliminary Examining Authority ☐ other:

The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland Facsimile No. (41-22) 338-9999	Authorized officer Anne KARKACHI Telephone No. (41-22) 338 9656
--	--

PATENT COOPERATION TREATY

From the
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

To:

UNWIN, Stephen Geoffrey
FRY HEATH & SPENCE
The Old College
53 High Street
Horley, Surrey RH6 7BN
GRANDE BRETAGNE

RECEIVED

17 JUL 2001

PCT

NOTIFICATION OF TRANSMITTAL OF
THE INTERNATIONAL PRELIMINARY
EXAMINATION REPORT
(PCT Rule 71.1)

Date of mailing
(day/month/year) 13.07.2001

Applicant's or agent's file reference
P50828uWO

IMPORTANT NOTIFICATION

International application No.
PCT/GB00/00904

International filing date (day/month/year)
10/03/2000

Priority date (day/month/year)
12/03/1999

Applicant
BOOKHAM TECHNOLOGY LIMITED et al.

1. The applicant is hereby notified that this International Preliminary Examining Authority transmits herewith the international preliminary examination report and its annexes, if any, established on the international application.
2. A copy of the report and its annexes, if any, is being transmitted to the International Bureau for communication to all the elected Offices.
3. Where required by any of the elected Offices, the International Bureau will prepare an English translation of the report (but not of any annexes) and will transmit such translation to those Offices.

4. REMINDER

The applicant must enter the national phase before each elected Office by performing certain acts (filing translations and paying national fees) within 30 months from the priority date (or later in some Offices) (Article 39(1)) (see also the reminder sent by the International Bureau with Form PCT/IB/301).

Where a translation of the international application must be furnished to an elected Office, that translation must contain a translation of any annexes to the international preliminary examination report. It is the applicant's responsibility to prepare and furnish such translation directly to each elected Office concerned.

For further details on the applicable time limits and requirements of the elected Offices, see Volume II of the PCT Applicant's Guide.

Name and mailing address of the IPEA/

 European Patent Office
D-80298 Munich
Tel. +49 89 2399 - 0 Tx: 523656 epmu d
Fax: +49 89 2399 - 4465

Authorized officer

Kiepe, C

Tel. +49 89 2399-2423



PATENT COOPERATION TREATY

PCT

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference P50828uWO	See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416) FOR FURTHER ACTION	
International application No. PCT/GB00/00904	International filing date (<i>day/month/year</i>) 10/03/2000	Priority date (<i>day/month/year</i>) 12/03/1999
International Patent Classification (IPC) or national classification and IPC H04B10/24		
Applicant BOOKHAM TECHNOLOGY LIMITED et al.		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.



2. This REPORT consists of a total of 7 sheets, including this cover sheet.

- ☐ This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

These annexes consist of a total of sheets.

3. This report contains indications relating to the following items:

- I ☒ Basis of the report
- II ☐ Priority
- III ☐ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- IV ☐ Lack of unity of invention
- V ☒ Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- VI ☐ Certain documents cited
- VII ☒ Certain defects in the international application
- VIII ☒ Certain observations on the international application

Date of submission of the demand 09/10/2000	Date of completion of this report 13.07.2001
Name and mailing address of the international preliminary examining authority:  European Patent Office D-80298 Munich Tel. +49 89 2399 - 0 Tx: 523656 epmu d Fax: +49 89 2399 - 4465	Authorized officer Giglietto, M Telephone No. +49 89 2399 8214 

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/GB00/00904

I. Basis of the report

1. With regard to the elements of the international application (*Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17)*):

Description, pages:

1-11 as originally filed

Claims, No.:

1-22 as originally filed

Drawings, sheets:

1/3-3/3 as originally filed

2. With regard to the language, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language: , which is:

- ☐ the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☐ the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in written form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. The amendments have resulted in the cancellation of:

- ☐ the description, pages:
- ☐ the claims, Nos.:

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/GB00/00904

☐ the drawings, sheets:

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)):

(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)

6. Additional observations, if necessary:

V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. Statement

Novelty (N)	Yes:	Claims 10-11, 13-22
	No:	Claims 1-9, 12
Inventive step (IS)	Yes:	Claims
	No:	Claims 4-22
Industrial applicability (IA)	Yes:	Claims 1-22
	No:	Claims

2. Citations and explanations
see separate sheet

VII. Certain defects in the international application

The following defects in the form or contents of the international application have been noted:
s eparate sheet

VIII. Certain observations on the international application

The following observations on the clarity of the claims, description, and drawings or on the question whether the claims are fully supported by the description, are made:
s eparate sheet

Re Item V

Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. Citations:

D1: US-A-5347601

D2: US-A-5515195

D3: EP-A-0822676

2. Document D1 discloses (cf. e.g. Fig. 1) an optical transceiver for transmitting and receiving optical signals of the same wavelength comprising the following features recited in claim 1 of the present application: a light source (cf. e.g. Fig. 1, 16), a light receiver (cf. e.g. Fig. 1, 72), I/O means (cf. e.g. Fig. 1, 46) for receiving light from and transmitting light to a bidirectional optical transmission path, optical switching means (cf. e.g. Fig. 1, 34) for selectively providing optical communication between light source and the I/O means and between the I/O means and the light receiver (cf. e.g. c. 4, l. 38-64; c. 5, l. 11-21).

The same features are also known from D2 (cf. e.g. Fig. 6A) which discloses a Bus interface module comprising a light source (110), an input/output means (cf. e.g. 102), a light receiver (cf. e.g. c. 8, l. 36 and c. 6, l. 45-47) switching means (cf. e.g. 100 and col. 6, l. 31-47).

Since all the features of claim 1 are known from D1 or D2, the subject matter of **claim 1 lacks novelty** (Art. 33(2) PCT).

3. Dependent claims 2-22 do not contain any additional features which in combination with the features of any claim to which they refer, would satisfy the requirement of novelty or inventive step for the following reasons:

claim 2 lacks novelty since it merely relates to the feature of the optical switch comprising an integrated optical switch which is already known from D1 (cf. e.g. c. 2, l. 3-5) and D2 (cf. e.g. c. 7, l. 5-18);

claim 3 lacks novelty since it merely relates to the feature of the optical switch

comprising a phase modulator which is also known from D1 (cf. e.g. c. 4, l. 3-5) and D2 (cf. e.g. col. 7, l. 5-30);

claims 4, 5, 6 appear to be known from D1 which shows a 4-port Mach-Zender modulator comprising a p-i-n diode (cf. e.g. col. 10, l. 55-68). Furthermore, claims 4, 5 and 6 lack an inventive step (Art. 33(3) PCT) in view of the use of the Mach-Zender modulator comprising a p-i-n diode as proposed in D1 as a normal design selection to implement the Mach-Zender interferometer of the optical transmitter disclosed in D2;

claims 7-9 lack novelty when dependent on claims 1-3 and an inventive step when dependent from 4-6 since the feature of the optical switching means arranged to provide selected coupling ratios between the input/output means and the light source and the feature of the light emitter being a laser diode are already known from D2 (cf. e.g. c. 7, l. 47-65; Figs.);

claims 10-11 are not inventive (Art. 33(3) PCT) since the use of a reflector as a light source for a modulator is described in document D3 (cf. e.g. c. 14, l. 30-55) as providing the same advantages as in the present application. The skilled person would therefore regard it as a normal design option to include this feature in the optical transceiver described in document D2 in order to solve the problem posed;

claim 12 is not novel (when dependent on claims 1-3) and not inventive (when dependent on the remaining) since also the receivers of D1 and D2 comprise a photodiode;

claims 13 to 16 do not appear to add any inventive step to the preceding claims since they relate to obvious details for connecting the optical fibre and the transceiver;

claim 17 is not inventive since D2 already shows a Mach-Zender interferometer having two ports connected to two directional fibres (cf. e.g. Fig. 2 and Fig. 4a);

claim 18 merely relates to a feature of the optical network (see also section VIII) and therefore does not appear to add any inventive characteristic to claim 17;

claims 19-22 merely relate to obvious embodiments of transceiver units and systems comprising the optical transceivers of claims 1-18 which have been found lacking novelty or inventive steps. Therefore claims 19-22 of the present application cannot be considered as involving an inventive step (Article 33(3) PCT).

**INTERNATIONAL PRELIMINARY
EXAMINATION REPORT - SEPARATE SHEET**

International application No. PCT/GB00/00904

Re Item VII

Certain defects in the international application

1. The features of the claims are not provided with **reference signs** placed in parentheses (Rule 6.2(b) PCT).
3. Contrary to the requirements of Rule 5.1(a)(ii) PCT, the **relevant background art** disclosed in the documents D1-D3 are not mentioned in the description, nor are these documents identified therein.

Re Item VIII

Certain observations on the international application

1. Claim 18 lacks clarity (Art. 6 PCT) since it adds to the optical transceiver of claim 17 features relating to the optical network rather than the transceiver itself.
2. Concerning the incorporations by reference at pages 10 of the description, the applicant should note the following (extract from PCT Guidelines, II-4.17 and II-4.18):
" II 4.17. References in international applications to other documents may relate either to the background art or to a part of the disclosure of the invention. Where the reference relates to the background art, it may be in the application as originally filed or introduced at a later date (see paragraphs II 4.4 and II 4.5). Where the reference relates directly to the disclosure of the invention (for example, details of one of the components of a claimed apparatus) then, if it is to be taken into account in respect of Article 5, it must be in the application as originally filed and clearly identify the document referred to in such a manner that the document can be easily retrieved. If matter in the document referred to is essential to satisfy the requirements of Article 5, this matter should be incorporated in the description, because the patent specification should, regarding the essential features of the invention, be self-contained, that is, capable of being understood without reference to any other document.
II 4.18. A reference to an unpublished, previously filed application (that is, not published before the international filing date) should not be regarded as being part

**INTERNATIONAL PRELIMINARY
EXAMINATION REPORT - SEPARATE SHEET**

International application No. PCT/GB00/00904

of the disclosure, unless the application referred to is made available to the public on or before the publication date of the international application. The reference to such an application made available to the public on or before the publication date of the international application may be replaced by the actual text referred to and may be taken into account by the examiner. Similarly, references to textbooks and periodicals are allowable under the same conditions if it can be proved that the content thereof was fixed prior to the international filing date. In the case of any document made available to the public later than the publication date of the international application or not to be published at all (for example, an application withdrawn before publication), the examiner should not take into account the reference to that document for the purposes of international preliminary examination. It should be noted, however, that this practice relates only to the international phase and does not preclude any decision applying relevant national law as far as it relates to the contents of the disclosure of the international application as filed."

PCT

REQUEST

The undersigned requests that the present international application be processed according to the Patent Cooperation Treaty.

For receiving Office use only.

International Application No.

International Filing Date

Name of receiving Office and "PCT International Application"

Applicant's or agent's file reference
(if desired) (12 characters maximum) P50828uWO

Box No. I TITLE OF INVENTION

SINGLE WAVELENGTH OPTICAL TRANSCEIVER

Box No. II APPLICANT

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)

Bookhâm Technology Limited
90 Milton Park
Abingdon
OX14 4RY
UK

☐ This person is also inventor.

Telephone No.

Facsimile No.

Teleprinter No.

State (that is, country) of nationality:

GB

State (that is, country) of residence:

GB

This person is applicant for the purposes of:

☐ all designated States

☒ all designated States except the United States of America

☐ the United States of America only

☐ the States indicated in the Supplemental Box

Box No. III FURTHER APPLICANT(S) AND/OR (FURTHER) INVENTOR(S)

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)

MORRIS, Robin Jeremy Richard
43 Henley Street
Oxford
OX4 1ES
UK

This person is:

☐ applicant only

☒ applicant and inventor

☒ inventor only (If this check-box is marked, do not fill in below.)

State (that is, country) of nationality:

GB

State (that is, country) of residence:

GB

This person is applicant for the purposes of:

☐ all designated States

☐ all designated States except the United States of America

☒ the United States of America only

☐ the States indicated in the Supplemental Box

☒ Further applicants and/or (further) inventors are indicated on a continuation sheet.

Box No. IV AGENT OR COMMON REPRESENTATIVE; OR ADDRESS FOR CORRESPONDENCE

The person identified below is hereby/has been appointed to act on behalf of the applicant(s) before the competent International Authorities as:

☒ agent

☐ common representative

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country.)

UNWIN, Stephen Geoffrey
Fry Heath & Spence
The Old College
53 High Street
Horley
Surrey
RH6 7BN, UK

Telephone No.

+ 44 1293 776 880

Facsimile No.

+44 1293 776 837

Teleprinter No.

☐ Address for correspondence: Mark this check-box where no agent or common representative is/has been appointed and the space above is used instead to indicate a special address to which correspondence should be sent.

Continuation of Box No. III FURTHER APPLICANT(S) AND/OR (FURTHER) INVENTOR(S)

If none of the following sub-boxes is used, this sheet should not be included in the request.

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)

RICKMAN, Andrew George
St Katherines Lodge
Savernake Forest
Marlborough
Wilts
SN8 3BG
UK

This person is:

- ☐ applicant only
☒ applicant and inventor
☐ inventor only (If this check-box is marked, do not fill in below.)

State (that is, country) of nationality:

GB

State (that is, country) of residence:

GB

This person is applicant for the purposes of:

☐ all designated States

☐ all designated States except the United States of America

☒ the United States of America only

☐ the States indicated in the Supplemental Box

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)

GORTON, Stephen Warren
20 Winterbourne Road
Abingdon
OX14 1AJ
UK

This person is:

- ☐ applicant only
☒ applicant and inventor
☐ inventor only (If this check-box is marked, do not fill in below.)

State (that is, country) of nationality:

GB

State (that is, country) of residence:

GB

This person is applicant for the purposes of:

☐ all designated States

☐ all designated States except the United States of America

☒ the United States of America only

☐ the States indicated in the Supplemental Box

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)

McCANN, Stephen
33B Grove Street
Summertown
Oxford
OX2 7JT
UK

This person is:

- ☐ applicant only
☒ applicant and inventor
☐ inventor only (If this check-box is marked, do not fill in below.)

State (that is, country) of nationality:

GB

State (that is, country) of residence:

GB

This person is applicant for the purposes of:

☐ all designated States

☐ all designated States except the United States of America

☒ the United States of America only

☐ the States indicated in the Supplemental Box

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the address indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)

This person is:

- ☐ applicant only
☐ applicant and inventor
☐ inventor only (If this check-box is marked, do not fill in below.)

State (that is, country) of nationality:

State (that is, country) of residence:

This person is applicant for the purposes of:

☐ all designated States

☐ all designated States except the United States of America

☐ the United States of America only

☐ the States indicated in the Supplemental Box

☐ Further applicants and/or (further) inventors are indicated on another continuation sheet.

Box No.V DESIGNATION OF STATES

The following designations are hereby made under Rule 4.9(a) (mark the applicable check-boxes; at least one must be marked):

Regional Patent

- ☒ **AP ARIPO Patent:** GH Ghana, GM Gambia, KE Kenya, LS Lesotho, MW Malawi, SD Sudan, SL Sierra Leone, SZ Swaziland, TZ United Republic of Tanzania, UG Uganda, ZW Zimbabwe, and any other State which is a Contracting State of the Harare Protocol and of the PCT
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- | | |
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| <input checked="" type="checkbox"/> GD Grenada | <input checked="" type="checkbox"/> TJ Tajikistan |
| <input checked="" type="checkbox"/> GE Georgia | <input checked="" type="checkbox"/> TM Turkmenistan |
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| <input checked="" type="checkbox"/> HR Croatia | <input checked="" type="checkbox"/> TZ United Republic of Tanzania |
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Box No. VI PRIORITY CLAIM		<input type="checkbox"/> Further priority claims are indicated in the Supplemental B x.		
Filing date of earlier application (day/month/year)	Number of earlier application	Where earlier application is:		
		national application: country	regional application: regional Office	international application: receiving Office
item (1) 12/03/1999	9905565.9	GB		
item (2)				
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<input checked="" type="checkbox"/> The receiving Office is requested to prepare and transmit to the International Bureau a certified copy of the earlier application(s) (only if the earlier application was filed with the Office which for the purposes of the present international application is the receiving Office) identified above as item(s): <u>1</u>				
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This international application contains the following number of sheets: request : 5 description (excluding sequence listing part) : 11 claims : 4 abstract : 1 drawings : 3 sequence listing part of description : Total number of sheets : 24		This international application is accompanied by the item(s) marked below: 1. <input checked="" type="checkbox"/> fee calculation sheet 2. <input type="checkbox"/> separate signed power of attorney 3. <input checked="" type="checkbox"/> copy of general power of attorney, reference number, if any: 4. <input type="checkbox"/> statement explaining lack of signature 5. <input type="checkbox"/> priority document(s) identified in Box No. VI as item(s): 6. <input type="checkbox"/> translation of international application into (language): 7. <input type="checkbox"/> separate indications concerning deposited microorganism or other biological material 8. <input type="checkbox"/> nucleotide and/or amino acid sequence listing in computer readable form 9. <input type="checkbox"/> other (specify):		
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<small>Next to each signature, indicate the name of the person signing and the capacity in which the person signs (if such capacity is not obvious from reading the request).</small>				
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